

APPENDIX D 3 - ALCOHOL TESTING MANAGEMENT INFORMATION SYSTEM (MIS)
DATA COLLECTION FORM

INSTRUCTIONS

The following instructions are to be used as a guide for completing the Federal Railroad Administration (FRA) **Alcohol Testing MIS Data Collection Form**. These instructions outline and explain the information requested and indicate the probable sources for this information. A sample testing results table with a narrative explanation is provided on pages iii-iv as an example to facilitate the process of completing the form correctly.

This reporting form includes five sections. Collectively, these sections address the data elements required in the FRA and the U.S. Department of Transportation (DOT) alcohol testing regulations. The five sections, the page number for the instructions, and the page location on the reporting form are:

| <u>Section</u> | <u>Instructions Page</u> | <u>Reporting Form Page</u> |
|--|------------------------------|------------------------------------|
| A. RAILROAD EMPLOYER INFORMATION | i | 1 |
| B. COVERED EMPLOYEES | i | 2 |
| C. ALCOHOL TESTING INFORMATION | ii-iv | 3-4 |
| D. OTHER ALCOHOL TESTING/PROGRAM INFORMATION | iv | 5 |
| E. ALCOHOL TRAINING/EDUCATION | iv | 5 |

Page 1 **RAILROAD EMPLOYER INFORMATION** (Section A) requires the company name for which the report is done and a current address. Below this, a signature, date, and current telephone (including the area code) are required certifying the correctness and completeness of the form.

Page 2 **COVERED EMPLOYEES** (Section B) requires a count for each Hours of Service Act employee category that must be tested under FRA regulations. The categories are: "Engine Service", "Train Service", "Dispatcher/Operator", "Signal Service", and "Other." The **OTHER** category is a count of employees performing covered service that are not included in specific preceding categories. Examples include yardmasters, hostlers (non-engineer craft), bridge tenders, switch tenders, etc. These counts should be based on the company records as of January 1 of the reported year. The **TOTAL** is a count of all covered employees for all categories combined, i.e., the sum of the column.

Additional information must be completed if your company employs personnel who perform duties covered by the alcohol rules of more than one DOT operating administration. **NUMBER OF EMPLOYEES COVERED BY MORE THAN ONE DOT OPERATING ADMINISTRATION**, requires that you identify the number of employees in each employee category under the appropriate additional operating administration(s).

ALCOHOL TESTING INFORMATION (Section C) requires information for alcohol testing by category of testing. All numbers entered into the pre-employment (and transfer to covered service) section of the table should be separated into the category of employment for which the person was applying or transferring. The other categories are for employee testing and require information for company employees in **covered positions** only. Each part of this table must be completed for each category of testing. These categories include: (1) random testing, (2) return to duty testing, (3) follow-up testing, (4) for cause testing due to accidents/injuries, (5) for cause testing due to rule violations, and (6) reasonable suspicion testing. These numbers **do not** include refusals for testing. A sample section of the table with example numbers is presented on page iv.

Four types of information are necessary to complete this table. The first blank column with the heading "**NUMBER OF SCREENING TESTS**" requires a count of all screening alcohol tests performed for each employee category. It should not include refusals to test. The second blank column with the heading "**NUMBER OF CONFIRMATION TESTS**" requires a count of all confirmation alcohol tests performed for each employee category.

The third blank column with the heading "**NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.02, BUT LESS THAN 0.04**" requires a count for each employee category.

The fourth blank column with the heading "**NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.04**" requires a count for each employee category. **Note:** For return to duty testing, a confirmation result equal to or greater than 0.02 is a violation of the alcohol rule. Therefore, if the number of results equal to or greater than 0.04 is unknown, you may report all results in the third column of the table.

Each column in the table should be added and the answer entered in the row marked "**TOTAL**".

A sample table is provided on page iv with example numbers.

At the bottom of the page containing pre-employment testing information is a box with the heading "**Number of applicants/transfers denied employment/transfer following an alcohol test indicating an alcohol concentration of 0.04 or greater**". Enter the appropriate number in the box provided.

Next, you must provide a count of the "**Number of employees who engaged in alcohol misuse who were returned to duty in a covered position (having complied with the recommendations of a substance abuse professional as described in FRA regulations)**". This information should be available from the personnel office and/or the drug and alcohol program manager.

FOR CAUSE TESTING data are provided in three separate parts of the table -- one for accidents/injuries, one for rules violations, and one for reasonable suspicion. In the top portion of the parts for accidents/injuries and rules violations you must indicate whether the testing was conducted under FRA authority or under railroad authority.

SAMPLE APPLICANT TEST RESULTS TABLE

The following example is for Section C, **ALCOHOL TESTING INFORMATION**, which summarizes pre-employment testing results. The procedures detailed here also apply to the other categories for testing in Section C which require you to summarize testing results for employees. This example will use the categories "Engine Service" and "Train Service" to illustrate the procedures for completing the form.

A Screening tests were performed on 157 job applicants for engine service positions during the reporting year. This information is entered in the first blank column of the table in the row marked "Engine Service".

B Confirmation tests were necessary for 6 of the 157 applicants for engine service positions. Enter this information in the second blank column of the table in the row marked "Engine Service". The confirmation test results for these 6 applicants were the following:

| <u>Applicant</u> | <u>Confirmation Result</u> |
|------------------|----------------------------|
| #1 | 0.06 |
| #2 | 0.01 |
| #3 | 0.11 |
| #4 | 0.04 |
| #5 | 0.03 |
| #6 | 0.02 |

C The confirmation test results for 2 of the applicants for engine service positions were equal to or greater than 0.02, but less than 0.04. Enter this information in the third blank column of the table in the row marked "Engine Service".

D The confirmation test results for 3 of the applicants for engine service positions were equal to or greater than 0.04. Enter this information in the fourth blank column of the table in the row marked "Engine Service".

E The last row, marked "TOTAL", requires you to add the numbers in each of the columns. With this example, 157 applicants for engine service positions and 107 applicants for train service positions were subjected to screening tests. The total for that column would be 264 (i.e., 157 + 107). The same procedure should be used for each column. (i.e., add all the numbers in that column and place the answer in the last row).

Please note that our sample data collection form also has information for train service workers on line two. The same procedures outlined for engine service should be followed for entering the data on train service workers. With applicants for train service positions, 107 screening tests were conducted resulting in 3 confirmation tests. No results were equal to or greater than 0.02, but less than 0.04; the confirmation test result for 1 of the train service applicants was equal to or greater than 0.04. This information is entered in the row marked "Train Service".

Note that adding up the numbers for confirmation results in columns three and four will not always match the number entered in the second column, "NUMBER OF CONFIRMATION TESTS". These numbers may differ since some confirmation test results may be less than 0.02.

| PRE-EMPLOYMENT | | | | |
|-------------------|---------------------------|------------------------------|---|---|
| EMPLOYEE CATEGORY | NUMBER OF SCREENING TESTS | NUMBER OF CONFIRMATION TESTS | NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.02, BUT LESS THAN 0.04 | NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.04 |
| Engine Service | 157 | 6 | 2 | 3 |
| Train Service | 107 | 3 | 0 | 1 |
| TOTAL | 264 | 9 | 2 | 4 |

A

B

C

D

E

Remember that the same procedures indicated above are to be used for completing all of the categories for testing in Section C.

- Page 5 **OTHER ALCOHOL TESTING/PROGRAM INFORMATION** (Section D) requests information on employees tested for drugs and alcohol at the same time and that you complete tables dealing with violations of other alcohol provisions/prohibitions of the regulation and refusals for testing.
- Page 5 **Number of employees administered drug and alcohol tests at the same time resulting in a verified positive drug test and an alcohol test indicating an alcohol concentration of 0.04 or greater**, requires that a count of all such employees be entered in the indicated box.
- Page 5 **VIOLETIONS OF OTHER ALCOHOL PROVISIONS/PROHIBITIONS OF THIS REGULATION** requires supplying the number of covered employees who used alcohol prior to performing a safety-sensitive function, while performing a safety-sensitive function, and before taking a required post-accident alcohol test. The action taken with covered employees who violate any of these FRA alcohol regulation provisions is also to be supplied. Other violations not delineated in this table may also be provided.
- Page 5 **EMPLOYEES WHO REFUSED TO SUBMIT TO AN ALCOHOL TEST** requires a count of the **NUMBER OF COVERED EMPLOYEES** who refused to submit to a **random or non-random** (pre-employment, reasonable suspicion, return to duty, or follow-up) alcohol test required under the FRA regulation.
- Page 5 **ALCOHOL TRAINING/EDUCATION** (Section E) requires information on the number of supervisory personnel who have received the required alcohol training during the current reporting period.

FRA ALCOHOL TESTING MIS DATA COLLECTION FORM OMB No. 2130-0526

YEAR COVERED BY THIS REPORT: 19__

A. RAILROAD EMPLOYER INFORMATION

Company _____

Address _____

I, the undersigned, certify the information provided on the attached Federal Railroad Administration Alcohol Testing Management Information System Data Collection Form is, to the best of my knowledge and belief, true, correct, and complete for the period stated.

Signature

Title

Date of Signature

Phone Number

Title 18, U.S.C. Section 1001, makes it a criminal offense subject to a maximum fine of \$10,000, or imprisonment for not more than 5 years, or both, to knowingly and willfully make or cause to be made any false or fraudulent statements or representations in any matter within the jurisdiction of any agency of the United States. The willful falsification of any information in this report may also subject the submitter to civil or criminal prosecution under Title 45, U.S.C. Section 438(e).

The Federal Railroad Administration estimates that the average burden for this report form is 8 hours. You may submit any comments concerning the accuracy of this burden estimate or any suggestions for reducing the burden to: Office of Safety; Federal Railroad Administration; 400 7th St., S.W.; Washington, D.C. 20590; OR Office of Management and Budget, Paperwork Reduction Project (2130-0526); Washington, D.C. 20503.

B. COVERED EMPLOYEES

| COVERED EMPLOYEES | | | | | | |
|---------------------|---------------------------------|---|------|-----|------|------|
| EMPLOYEE CATEGORY | NUMBER OF FRA COVERED EMPLOYEES | NUMBER OF EMPLOYEES COVERED BY MORE THAN ONE DOT OPERATING ADMINISTRATION | | | | |
| | | FAA | FHWA | FTA | RSPA | USCG |
| Engine Service | | | | | | |
| Train Service | | | | | | |
| Dispatcher/Operator | | | | | | |
| Signal Service | | | | | | |
| Other* | | | | | | |
| TOTAL | | | | | | |

* Includes yardmasters, hostlers (non-engineer craft), bridge tenders, switch tenders, and other miscellaneous employees performing covered service as defined in 49 CFR 228.5 (c).

| READ BEFORE COMPLETING THE REMAINDER OF THIS FORM: | |
|--|---|
| 1. | All items refer to the current reporting period only (for example, January 1, 1994 - December 31, 1994). |
| 2. | This report is only for testing REQUIRED BY THE FEDERAL RAILROAD ADMINISTRATION (FRA) AND THE U.S. DEPARTMENT OF TRANSPORTATION (DOT) : <ul style="list-style-type: none"> Results should be reported only for employees in COVERED POSITIONS as defined by the FRA alcohol testing regulations. The information requested should only include testing for alcohol using the standard procedures required by DOT regulation 49 CFR Part 40. |
| 3. | Information on refusals for testing should only be reported in Section D ["OTHER ALCOHOL TESTING/PROGRAM INFORMATION"]. Do <u>not</u> include refusals for testing in other sections of this report. |
| 4. | Complete all items; DO NOT LEAVE ANY ITEM BLANK . If the value for an item is zero (0), place a zero (0) on the form. |

C. ALCOHOL TESTING INFORMATION

| EMPLOYEE CATEGORY | NUMBER OF SCREENING TESTS | NUMBER OF CONFIRMATION TESTS | NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.02, BUT LESS THAN 0.04 | NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.04 |
|-----------------------|------------------------------|------------------------------------|--|---|
| PRE-EMPLOYMENT | | | | |
| Engine Service | | | | |
| Train Service | | | | |
| Dispatcher/Operator | | | | |
| Signal Service | | | | |
| Other | | | | |
| Total | | | | |
| RANDOM | | | | |
| Engine Service | | | | |
| Train Service | | | | |
| Dispatcher/Operator | | | | |
| Signal Service | | | | |
| Other | | | | |
| Total | | | | |
| RETURN TO DUTY | | | | |
| Engine Service | | | | |
| Train Service | | | | |
| Dispatcher/Operator | | | | |
| Signal Service | | | | |
| Other | | | | |
| Total | | | | |
| FOLLOW-UP | | | | |
| Engine Service | | | | |
| Train Service | | | | |
| Dispatcher/Operator | | | | |
| Signal Service | | | | |
| Other | | | | |
| Total | | | | |

Number of applicants/transfers denied employment/transfer following an alcohol test indicating an alcohol concentration of 0.04 or greater:

Number of employees who engaged in alcohol misuse who were returned to duty in a covered position (having complied with the recommendations of a substance abuse professional as described in FRA regulations):

C. ALCOHOL TESTING INFORMATION (continued)

| EMPLOYEE CATEGORY | NUMBER OF SCREENING TESTS | NUMBER OF CONFIRMATION TESTS | NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.02, BUT LESS THAN 0.04 | NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.04 |
|---|------------------------------|------------------------------------|--|---|
| FOR CAUSE ALCOHOL TESTING DUE TO ACCIDENT*/INJURY *(Accidents NOT qualifying under 49 CFR Part 219 Subpart C) (Testing Conducted Under: FRA Rule Railroad Rule) | | | | |
| Engine Service | | | | |
| Train Service | | | | |
| Dispatcher/Operator | | | | |
| Signal Service | | | | |
| Other | | | | |
| TOTAL | | | | |
| DUE TO RULES VIOLATION (Testing Conducted Under: FRA Rule Railroad Rule) | | | | |
| Engine Service | | | | |
| Train Service | | | | |
| Dispatcher/Operator | | | | |
| Signal Service | | | | |
| Other | | | | |
| TOTAL | | | | |
| REASONABLE SUSPICION | | | | |
| Engine Service | | | | |
| Train Service | | | | |
| Dispatcher/Operator | | | | |
| Signal Service | | | | |
| Other | | | | |
| TOTAL | | | | |

D. OTHER ALCOHOL TESTING/PROGRAM INFORMATION

| | |
|---|--|
| Number of employees administered drug and alcohol tests at the same time resulting in a verified positive drug test and an alcohol test indicating an alcohol concentration of 0.04 or greater: | |
|---|--|

| VIOLATIONS OF OTHER ALCOHOL PROVISIONS/PROHIBITIONS OF THIS REGULATION | | |
|---|---|---------------------|
| NUMBER OF COVERED EMPLOYEES | VIOLATION | ACTION TAKEN |
| | Covered employee used alcohol while performing safety-sensitive function. | |
| | Covered employee used alcohol within 4 hours of performing safety-sensitive function. | |
| | Covered employee used alcohol before taking a required post-accident alcohol test. | |
| | | |
| | | |

| EMPLOYEES WHO REFUSED TO SUBMIT TO AN ALCOHOL TEST | Number |
|---|---------------|
| Covered employees who refused to submit to a random alcohol test required under the FRA regulation: | |
| Covered employees who refused to submit to a non-random alcohol test required under the FRA regulation: | |

E. ALCOHOL TRAINING/EDUCATION

| TRAINING DURING CURRENT REPORTING PERIOD | Number |
|---|---------------|
| Supervisory personnel who have received initial training on the specific contemporaneous physical, behavioral, and performance indicators of probable alcohol use as required by FRA alcohol testing regulations: | |